

# INTRODUCTION

The Saint Paul City Council, as the governing body for the City of Saint Paul, is responsible for hearing and investigating complaints about City operations. In recent years, Councilmembers have received complaints from some Police Department employees about the management of that department. In response to these complaints, the City Council directed Council Research to commission a survey of Police employees.

The Council Research Director selected Gantz-Wiley Research based on their demonstrated expertise and their ability to compare the survey results from the Saint Paul Police Department employees with a national reference group. Gantz-Wiley Research is a private company headquartered in Minneapolis specializing in employee and customer survey research. The corporate mission for Gantz-Wiley Research is to contribute to their clients' success by helping them better understand and act on the view of their employees and customers.

Gantz-Wiley Research completed the confidential survey of Police Department employees in the Spring of 1999. They received responses from 433 of 748 employees surveyed. This response rate of 58 percent is considered excellent for a mail survey. Gantz-Wiley Research conducted and reported an analysis of the survey data. Council Research conducted additional analysis of the survey data.

These analyses identified several strengths within the Police Department. Job satisfaction and immediate supervisors were highly rated and exceeded expectations based on the national WorkTrends data. There were, however, other areas where the Police employees' responses were less favorable. We grouped these areas into three categories. These categories and the areas included in each are:

- ' *Services to the Public*
  - Risk to the public
  - Police officer safety
  - Adequacy of police resources
- ' *Departmental Issues*
  - Promotions
  - Employee recognition
  - Senior management
  - Management of the emergency communication center
  - Employee involvement
- ' *Other Issues*
  - Alleged use of traffic quotas
  - Qualifications of police recruits

In the Summer of 1999, the City Council directed Council Research to further investigate the

“Services to the Public” issues. We conducted this study and reported the results to the City Council in the report titled “A Study of Police Employee Survey Issues, Phase I: Services to the Public” in November 1999. This study found that:

- ‘ Based on the Police Department’s “total response time” for priority two and three calls, there is no evidence to support the assertion that the public is at a greater risk than in prior years; and
- ‘ Based on the officer assault data, there is no evidence to indicate officers face a greater physical risk than in prior years; and
- ‘ Based on interviews conducted with the Police Department’s senior officers, there is no evidence to support the assertion that the Department lacks adequate resources to meet its public safety responsibilities.

Upon receipt and consideration of the “Phase I: Service to the Public Report,” the City Council directed Council Research to conduct an additional study of the “Departmental Issues” identified from the Police employee survey. To that end, Council Research prepared a research design for this study that the City Council approved in January 2000. The City Council approved some modifications of the initial design in February based on recommendations for amendments from Council Research.

### **Purpose of this Report**

This report presents Council Research findings and analysis regarding each of the “Departmental Issues” identified from the Police employee survey data. We then examine conclusions based on these findings and analysis to determine if the Police Department is being managed in conformance with City policies and good management practices. Should our conclusions suggest the Police Department is not following City policies, then we will recommend changes in either City policies or Police Department practices to achieve alignment. If the Police Department is found to not always follow the best management practices, we will make recommendations for improvements.

## **EMERGENCY COMMUNICATIONS CENTER**

The City of Saint Paul’s Emergency Communications Centers (ECC) have long been troubled organizations. They have been almost continually distressed since their creation two decades ago with the advent of the universal “911” emergency service system. At that time, the City hired a consultant to assist with system design and recommend how emergency communications systems should be organized. The consultant recommended a single emergency communications

center for both Police and Fire, staffed with civilians and managed by the Police Department. The City ignored this recommendation for almost twenty years until finally implementing the plan last year. This twenty-year delay in adopting the consultant's recommendation stands as testimony to the power of personalities and politics to obstruct the implementation of professional recommendations. The fact they have provided quality emergency communications services during these twenty years of turmoil stands as a testimony to the ability of dedicated employees to provide good public service despite poor political and management decisions.

Given this history, it is not surprising the employees of the Police Emergency Communications Center provided profoundly negative responses, when surveyed by Gantz-Wiley Research last year, to all but one category of the survey questions. The only exceptions to this general negativity were questions about "Job Satisfaction." In this single category, ECC employee responses were among the highest in the department. It appears, despite general dissatisfaction with their work situation, most ECC employees like the kind of work they do and derive personal satisfaction from providing public service. This finding is particularly important because it shows ECC respondents were thoughtful in their responses and did not just respond negatively to every question in the survey.

Gantz-Wiley Research used twelve categories to summarize the results of the Police employee survey. The respondents from the ECC gave the lowest level of favorable ratings to eleven of these twelve themes. Some themes, such as Customer Service, Performance Feedback, Work Effectiveness, Quality, Senior Management and the Department Overall showed the percentage of favorable responses to be 10 to 20 percentage points lower than the Police Department as a whole. In other themes, such as Immediate Supervisor, Training, Working Conditions and Career Development the percentage of favorable responses was 20 to 30 percentage points lower than the Police Department as-a-whole. Not only were these favorable ratings far lower than the Department as-a-whole, they were in some cases remarkably low. For example, only 16 percent responded favorably to questions about "Training," and only 14 percent responded favorably to questions about "Working Conditions." Astonishingly, only 4 percent responded favorably to questions about "Employee Involvement."

These responses are not only very low when compared with the Police Department as-a-whole, but they are even worse, in most cases, when compared with WorkTrends® data from government employees nationally. For example, the responses of ECC employees reflected a 49 percentage points lower rate of favorable response to questions about "Working Conditions" and a 35 percentage points lower rate of favorable response to questions about "Employee Involvement." There can be little doubt, based on these responses to the Gantz-Wiley employee survey, there were serious problems within the ECC.

### **Since the Survey**

As we seek to interpret the results from the Gantz-Wiley survey, understanding the situation in the ECC at the time Gantz-Wiley conducted this survey is important. Of all the many low points for the ECC during the past 20 years, the Spring of 1999 may have been the lowest. Almost everything was in flux within the ECC at this time. Planning was underway to finally merge the Police and Fire emergency communications centers. Mayor Coleman had ordered this consolidation in late 1998 and negotiations were underway between the Police Department, Fire Department and the Mayor's Office about how to achieve a merger. Anxiety was high among ECC employees who did not know how the merger would affect them or their work situation. The computer-aided dispatch (CAD) system had recently been upgraded and their workplace was under construction. There were problems with noise, air quality and comfort. Simultaneously the Department was installing new workstations and installing and testing new equipment. In addition, departmental leaders were in the process of making decisions about the future management of the ECC. To make matters worse, there were continuing staff shortages resulting in increased individual workloads. These situations were compounded by a long-standing belief that the police officers and managers did not really appreciate or respect the work being done by the civilians in the ECC. Given these problems, understanding the frustrations expressed by ECC employees through the employee survey in the Spring of 1999 is not difficult.

A great deal has happened in the ECC in the year since Gantz-Wiley Research conducted this employee survey. They have completed the merger of the Police and Fire communications centers and they have appointed a civilian manager to oversee the ECC. The redesign and renovation of the ECC have been completed and they have installed a great deal of new and improved equipment. They have appointed new civilian shift supervisors and training for these supervisors is ongoing. Also, the consolidation of the two communications centers has made it possible to redistribute workloads so more personnel are available to handle incoming 911 calls.

## **Consultants**

Importantly, the Police Department has engaged the services of two Senior Business Consultants from the Office of Human Resources to help with the development and implementation of plans "to establish the most effective Emergency Communications Center in the nation." This management initiative, begun in the Summer of 1999, includes assessment, analysis, recommendations, implementation and evaluation. The assessment phase was completed in October 1999 with a report presented to Police management based on information from nine employee focus groups. Goals statements and action plans were developed based on this information and analysis. The specific goals they adopted were:

1. Strengthen the communication link between manager, supervisors and employees;
2. Establish consistency between supervisors in administration of policies;
3. Manage and monitor the transition process;

4. Establish standards and expectations for employees;
5. Provide necessary training for staff; and
6. Finalize hiring of staff complement authorized.

This project reached the evaluation phase with a survey of ECC employees being conducted by the Human Resources consultants in March of 2000. The survey asked ECC employees to rate progress toward the accomplishment of each of the transition plan goals on a scale of 1 to 5 with 5 signifying the highest degree of progress or completion. It also asked respondents to describe “What issues have not yet been addressed yet?” and “What do you believe are the next steps or strategies that should be undertaken?” Twenty-two (37%) of 59 employees responded to the survey.

The results of this survey were mixed. Between four and ten of the respondents gave generally positive responses depending on the goal. Ten were generally positive about the goal of hiring staff to authorized levels but only four were positive about consistency among supervisors. Responses regarding the other four goals were in the middle. Eleven, or 50%, of the respondents were quite negative with no ratings above two for any goal. Many respondents provided extensive written comments addressing a variety of concerns and providing suggestions.

Since the survey did not collect demographic information such as a shift or job title from respondents, determining the types of respondents who were more positive from the more negative is not possible based on their position in the organization or any other criteria. Nevertheless, the number of generally negative responses is concerning, and it suggests they have not yet accomplished their organizational goals. Recognizing the ECC remains in a state of flux is, however, important and it is relatively early in the transition process. For example, they have promoted almost half the employees in the ECC in the past year and they are continuing to hire new staff. Training for six new shift supervisors is incomplete and many issues are yet to be addressed. It is also important to remember the merger of the two communication centers took place only last year. Therefore, while these early evaluation results may be disappointing, it is far too early to reach judgement about the Police Department’s ability to manage the merged ECC.

## **Conclusions**

There can be little doubt the ECCs have been a troubled organizations for a long time. It also appears that a serious effort is underway to resolve these difficulties. They have accomplished much in the past year to improve both the physical work environment and general working conditions, but much remains to be done. However, we believe the Police Department is engaged in a serious and positive effort to address the problems evidenced by ECC employees in the 1999 Gantz-Wiley survey. We also believe this effort will take more time but it holds promise.

***Recommendation 1:*** *We recommend the Police Department be recognized for its current efforts to improve the ECC and it be allowed time to experience the results of these efforts. Periodic assessments of progress should continue to be made by the Police Department. At this time, however, we recommend the Police Department be encouraged to continue, with assistance of the Human Resources Senior Business Consultants, its current efforts to build “the best emergency communications center in the country.”*

## **PROMOTIONS**

The survey of Police employees raised concerns about how the Chief awards promotions in the department. Some respondents reflected these concerns in responses to both the structured survey questions and in the written comments. The written comments also raised issues about how the Chief handles transfers within the department. We are investigating some concerns expressed about promotions, but for reasons explain later in this report, we are not addressing transfers in this study.

The Gantz-Wiley survey included five questions relating to promotions. These questions asked about knowledge of job openings, opportunities for advancement and fairness. The question regarding employees knowledge of job openings and opportunities for advancement received ratings very similar to those in the national WorkTrends® data. The questions about fairness, which were questions added to the survey instrument by the City, and for which there is no comparative data, received decidedly negative responses. Only 22 percent of respondents felt the Police Department applied personnel policies fairly and only 15 percent gave a favorable response when asked if the Police Department handled promotions and transfers fairly.

### **Written Comments**

The written responses contain a variety of claims and assertions regarding favoritism and discrimination. Some accused the Chief of having personal favorites to whom he gives preference for promotions and transfers to desired assignments. Others claimed the Chief uses race/ethnicity and gender as considerations in selecting candidates for promotion. Interestingly, these claims about race/ethnicity and gender conflict. Some believe he favors women and others claim he favors men. Similarly, some claim he favors African-Americans while others think he favors white candidates.

Respondents made assertions in some written comments that the Chief improperly manipulates the personnel system to advance the interests of a favored few or particular gender or racial/ethnic groups. They asserted the Chief has timed personnel requisitions to help the candidacy of certain individuals and he has “stacked” oral boards to hopefully advance the cause of certain individuals or groups. In addition, some claim he has sought to influence Human

Resources to score tests in ways that increase the number of tie scores to maximize the number of candidates available to him for selection.

While investigating each of these “system manipulation” claims might be possible, we believe looking at “results” is much more direct and efficient. The important thing is not whether the Chief has attempted to influence the system, but whether actual promotions reflect bias in ways City policy or laws prohibit. City policies preclude the consideration of a candidate’s race/ethnicity, gender and disability status when making promotion decisions, and we will focus on determining if the Police Department is following these policies.

### **Transfers Not Studied**

Because survey respondents often mentioned concerns about transfers in the written comments, we considered attempting to analyze transfers for evidence of prohibited discrimination or punitive transfers. Upon serious consideration, we concluded studying transfer practices within the Police Department is not practical. The principle problem is that it is virtually impossible to determine, at a given point in the past, exactly which Police employees were eligible to be transferred to a particular assignment. Without knowing exactly who is eligible, comparing those eligible for transfer with those actually transferred is not possible. Therefore, it is not likely we could assess the probability the Police Department is employing prohibited selection criteria. Beyond the difficulty in establishing eligibles, achieving agreement about which transfers are positive and which are negative is difficult. For example, a transfer to an administrative assignment may be considered highly desirable to an officer who aspires to become a police administrator. An officer who prefers direct law enforcement work may view the same assignment as undesirable. Similarly, an officer may view an assignment differently at different career stages. A rookie officer may view an opportunity to work, perhaps undercover, in narcotics as a great opportunity. This same officer, after working 20 years in patrol, might find such an assignment unattractive.

Since determining who was eligible for each possible transfer is very difficult, if not impossible, and since there is no agreement as to which assignments are desirable, we have reluctantly concluded examining transfers for evidence of race/ethnicity, gender or disability bias is not possible. None of these problems exist with respect to promotions and we will systematically examine them in the succeeding sections. It may, however, be reasonable to assume, since the Chief of Police makes both promotion and transfer assignments, if prohibited criteria are being considered in making transfers, these same factors should reveal themselves in the analysis of promotions.

### **Affirmative Action Policies for Promotions**

The City of Saint Paul has an official policy of seeking protected class applicants for City employment. The City seeks to advance this policy through the activities of the Affirmative Action Director who is charged with facilitating and monitoring the implementation of this policy Citywide. Promotions are not, however, addressed in the City's affirmative action policy but are governed by the Civil Service Rules. These rules do not provide for any preference among candidates based on race/ethnicity, gender or disability status.

Because some respondents have suggested the Police Department may give preference for promotion to certain protected class employees to achieve a workforce that is more representative of the community, we asked senior police administrators if such a policy exists within the Police Department. They told us, emphatically, the protected class status of employees is not a consideration when making promotions within the Police Department.

### **Process for Promotions**

Promotions are handled in the Police Department as provided for in the applicable Civil Service Rules and collective bargaining agreements. Civil Service Rule 7 (Eligible Lists ), Civil Service Rule 8 (Filling Vacancies) and Civil Service Rule 14 (Promotion Requirements) prescribe the process to be followed by the Police Department for promotions. No bargaining agreement requirements contain provisions regarding promotions within the Police Department except for the few Police employees in the Professional Employees Association and the Saint Paul Supervisor Organization. With these two bargaining units, different practices are to be followed if there are fewer than three candidates on the eligible list.

The process for promotions begins when the appointing authority submits a requisition to the Office of Human Resources asking for a certified list of candidates for promotion to a particular title within the Police Department. The Office of Human Resources conducts tests and subsequently develops a promotional score for each qualified applicant. The Office of Human Resources then certifies to the appointing authority the three highest scoring candidates, and the top three candidates from the appointing division, plus ties. This means the appointing authority always has at least three candidates to consider for each promotion. The appointing authority may promote any candidate on the certified list. There are some slight variations on this practice when there is more than one vacancy within a title to be filled, but the process is essentially the same.

While the appointing authority's discretion to promote is limited to choosing among candidates on the certified list, the appointing authority has complete discretion when choosing among certified candidates. This exercise of discretion provides opportunities for the consideration of legitimate criteria such as aptitude, prior performance and attitude. It also provides an opportunity for the consideration of illegitimate criteria such as race/ethnicity, gender and disability status. In this study we will examine promotions awarded within the Police



Department during the five-year period of 1995 through 1999 to determine if there is evidence prohibited criteria are influencing promotions within the Police Department.

## **Lawsuits and Sustained Grievances**

There are legal remedies available to Police employees who are denied promotions due to the use of prohibited discriminatory criteria. These remedies are available through the initiation of lawsuits against the City of Saint Paul under a variety of state and federal laws. There are also opportunities for employees who are denied promotions, because of the failure of the Police Department to follow the City's Civil Service Rules or the terms of bargaining agreements, to file grievances seeking remedies. Upon consultation with the Office of the City Attorney and review of the records of the Office of Labor Relations, we found there have been no findings of prohibited discrimination in promotions in the Police Department during the study period of the past five years.

## **Statistical Analysis**

It is possible using standard statistical methods to determine the likelihood that race/ethnicity, disability status or gender influences the outcome of promotion decisions. The basic principle is that by knowing the overall probability candidates will be selected for promotion, one can assess the likelihood the number of candidates selected from a particular subgroup of candidates, such as women, would occur by chance. If it is likely the particular distribution being examined could occur by chance or normal variation, there is no statistical basis to conclude this variable is a factor in the decision-making process. If, however, it is found that the number of candidates selected for promotion from a particular subgroup is highly unlikely to have occurred by chance, one may infer this factor is influencing promotion decisions.

To conduct this statistical analysis, we created a data base including the name, race/ethnicity, gender and disability status for candidates for promotion the Office of Human Resources certified to the Police Department during the 5-year period of 1995 through 1999. Also included in this data base was a notation showing which candidates were actually selected for promotion. Council Research constructed this data base from copies of original records provided by the Office of Human Resources. It contains records for 305 candidates for promotion, 127 of whom were actually promoted. We do not include information from lists where all candidates on the list were promoted because the promotion of all eligible candidates precludes any possibility of selection bias. The program used to conduct this analysis was the Statistical Package for the Social Sciences and the statistical test used in this analysis is Pearson Chi-Square. The following sections analyze promotions in the Police Department by race/ethnicity, gender and disability. These analyses are presented overall, by year and by job type (sworn and non-sworn).

### **Gender**

Table 1 displays the number of candidates for promotion and the number of persons promoted overall, by year followed by a brief interpretation of each year. None of these data show statistically significant differences in promotions based on gender. For the purposes of this study, we are considering any Chi-Square probability of  $p > .05$  to be statistically significant. A probability of  $p > .05$  means there is less than 5 chances in 100 this distribution would occur if there was no underlying relationship between the two variables.

**Table 1.** Promotions during 1995-1999 by Gender

Year	Gender	Candidates	Promoted	Percent Promoted
1995	Male	9	4	44.4%
	Female	3	3	100%
1996	Male	9	5	55.6%
	Female	9	2	22.2%
1997	Male	45	14	31.1%
	Female	20	9	45%
1998	Male	66	22	33.3%
	Female	14	8	57.1%
1999	Male	70	31	44.3%
	Female	60	28	46.7%
Total 1995-99	Male	199	76	38.2%
	Female	106	50	47.2%

The year 1995 shows a greater percentage of female candidates were promoted, but this difference is not statistically significant. (Chi-Square = .091)

The year 1996 shows a greater percentage of male candidates were promoted, but this difference is not statistically significant. (Chi-Square = .147)

The year 1997 shows a greater percentage of female candidates were promoted, but this difference is not statistically significant. (Chi-Square = .280)

The year 1998 shows a greater percentage of female candidates were promoted, but this difference is not statistically significant. (Chi-Square = .095)

The year 1999 shows a slightly greater percentage of female candidates were promoted, but this difference is not statistically significant. (Chi-Square = .786)

The total for years 1995-1999 shows a somewhat greater percentage of female candidates were promoted, but this difference is not statistically significant. (Chi-Square = .129)

In view of the possibility there might be a difference regarding the effects of the gender of candidates for promotion to sworn and non-sworn positions, Table 2 displays the effects of gender for sworn and non-sworn positions.

**Table 2.** Promotions from 1995-1999 by Gender: Sworn and Non-sworn

Employee Type	Gender	Candidates	Promoted	Percent Promoted
Non-Sworn	Male	19	8	42.1%
	Female	65	36	43.1%
Sworn	Male	180	68	37.8%
	Female	41	22	53.7%

Table 2 shows during 1995-1999 a slightly greater percentage of female candidates for non-sworn positions were promoted, but this difference is not statistically significant. (Chi-Square = .940)

Table 2 also shows during 1995-1999 a greater percentage of female candidates for promotion to sworn positions were promoted, but this difference is not statistically significant. (Chi-Square = .062)

A review of the findings and statistical calculations displayed in Tables 1 and 2 discloses there is no evidence, as determined by conventional statistical tests and standards ( $p > .05$ ), gender was a factor in promotion decisions within the Police Department during 1995 through 1999. This is true when we conduct analyses by year and when analyzing sworn and non-sworn positions separately.

#### ***Disability Status***

We recorded and analyzed the disability status of all candidates for promotion for evidence disability status was a factor in promotion decisions in the Police Department during the five-year period of 1995-1999. Disability status as recorded by the City refers to self-reported disabilities which may not be apparent, or even known, by the appointing authority. Because of the small number of candidates who report disabilities, it is only possible to conduct a statistical analysis for all positions for the entire period. Table 3 displays the number of candidates by disability status and the percentage promoted.

**Table 3.** Promotions during 1995-1999 by Disability Status

Status	Candidates	Promoted	Percent Promoted
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<b>Not Disabled</b>	294	121	41.2%
<b>Disabled</b>	11	5	45.5%

Table 3 shows a slightly higher percentage of disabled candidates than not-disabled candidates were promoted during the five-year period of 1995-1999 but this difference is not statistically significant. (Chi-Square = .776)

A review of the findings and statistical calculations displayed in Tables 3 discloses there is no evidence, as determined by conventional statistical tests and standards ( $p > .05$ ), disability status was a factor in promotion decisions within the Police Department during the period of 1995 through 1999.

### ***Race/Ethnicity***

To investigate the role, if any, of race/ethnicity in the promotion decisions made in the Police Department during the past five years, we recorded the race/ethnicity of each candidate for promotion and of those promoted. Table 4 shows these numbers and percentages for the period of 1995-1999.

**Table 4.** Promotions during 1995-1999 by Race/Ethnicity

<b>Race/Ethnicity</b>	<b>Candidates</b>	<b>Promoted</b>	<b>% Promoted</b>
<b>White</b>	280	111	39.6%
<b>African-American</b>	11	8	72.7%
<b>Hispanic</b>	10	5	50.0%
<b>Asian</b>	1	0	0.0%
<b>Native American</b>	3	2	66.7%

While there are differences in the proportion of candidates promoted by race/ethnicity, the Chi-square test cannot be appropriately applied to these data because of the high percentage of data cells with an expected count of less than five. This makes the test unreliable.

The data for 1997 and 1998 (Tables 5 & 6) show that three of seven race/ethnicity minorities were promoted in 1997 and one of four race/ethnicity minorities were promoted in 1998. Neither of these proportions suggest any favoritism toward minority candidates.

**Table 5.** Promotions in 1997 by Race/Ethnicity

<b>Race/Ethnicity</b>	<b>Candidates</b>	<b>Promoted</b>	<b>% Promoted</b>
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<b>White</b>	58	20	34.5%
<b>African-American</b>	4	3	75.0%
<b>Hispanic</b>	3	0	0.0%

Table 5 shows there were seven African-American and Hispanic candidates in 1997, of which three were promoted.

**Table 6.** Promotions in 1998 by Race/Ethnicity

<b>Race/Ethnicity</b>	<b>Candidates</b>	<b>Promoted</b>	<b>% Promoted</b>
<b>White</b>	76	29	38.2%
<b>African-American</b>	1	1	100.0%
<b>Hispanic</b>	2	0	0.0%
<b>Native American</b>	1	0	0.0%

Table 6 shows there were four African-American, Hispanic and Native American candidates in 1998, only one was promoted.

**Table 7.** Promotions in 1999 by Race/Ethnicity

<b>Race/Ethnicity</b>	<b>Candidates</b>	<b>Promoted</b>	<b>% Promoted</b>
<b>White</b>	116	48	41.4%
<b>African-American</b>	6	4	66.7%
<b>Hispanic</b>	5	5	100.0%
<b>Asian</b>	1	0	0.0%
<b>Native American</b>	2	2	100.0%

Table 7 shows the unexpectedly high number of Hispanics and Native Americans promoted in 1999. All of the candidates from these two groups were promoted. Also, a somewhat higher than expected percentage of the African-American candidates were promoted. It is very important to note this pattern exists only for 1999. As noted earlier, there were no minority candidates in the years of 1995 or 1996. As in the analysis of the total promotions between 1995-1999 (Table 4), the Chi-square test cannot be appropriately applied to these data because of the high percentage of data cells with an expected count of less than five makes the test unreliable.

In an effort to better understand the reasons all of the Native American and Hispanic candidates were promoted in 1999, we carefully examined the promotion lists from which they were chosen

for any evidence they were given preference because of their race/ethnicity. This examination shows the two Native American candidates were 1<sup>st</sup> and 2<sup>nd</sup> on their respective lists. In neither case were there any higher ranking white candidates whom they also did not promote.

A review of the promotions of all five Hispanic candidates in 1999 shows on one list the Hispanic candidates were 1<sup>st</sup> and 3<sup>rd</sup>. In this case the first four candidates were all appointed including the two white and the two Hispanic candidates. In the other three instances, the Hispanic candidates were 3<sup>rd</sup>, 4<sup>th</sup> and 5<sup>th</sup> on their respective lists. In these three cases, there were white candidates higher on the list whom they did not promote. There is, however, nothing unusual about the selection of candidates who are lower on the eligible lists. A review of Police Department promotions in 1999 where all of the candidates were white, shows many cases where lower ranking candidates were selected for promotion over higher ranking candidates. There are, for example, instances in 1999 where the Chief chose to promote the 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup>, 5<sup>th</sup>, 6<sup>th</sup>, or 7<sup>th</sup> ranking candidates from all-white lists even though there were other higher ranked candidates available. The Chief often exercises his discretion as an appointing authority to choose lower-ranking candidates from eligible lists and there is nothing to suggest the promotion of three Hispanic candidates who were 3<sup>rd</sup>, 4<sup>th</sup> and 5<sup>th</sup> on their respective lists is in any way unusual.

## **Summary**

A comprehensive review of promotions within the Police Department during the five-year period of 1995-1999 leads us to conclude the race/ethnicity of candidates has had little, if any, effect on their likelihood of being promoted in the Police Department. The promotion data for 1999 do show an unusually high number of Hispanic and Native American candidates were promoted in that year. The absence of any similar pattern in any other year or among non-sworn personnel leads us to the conclusion this is not reflective of racial discrimination.

## **Conclusions**

The analysis of promotions within the Police Department for the five-year period of 1995 through 1999 does not show race/ethnicity, gender or disability status have improperly influenced promotion decisions.

***Policy Note:*** *It is impossible not to notice the conflict between the City's policy, as reflected in the Civil Service Rules, that promotions are to be made solely on merit, and the practice of the City's Affirmative Action Director of recommending the promotion of certain candidates based on their protected class status. It appears this practice conflicts with City policy. It is also possible that knowledge of this practice leads Police employees to believe protected class status is a factor in promotions when that does not appear to be the case.*

## **FORMAL RECOGNITION PROCESS**

Police Department recognition of outstanding employee performance was a significant area of concern for survey respondents. The Gantz-Wiley survey found many employees were concerned about the quality of recognition in the Department and there was a perception among many employees that recognition was not given to deserving employees. Overall, survey participants gave a 48 percent unfavorable response when asked if the Department recognized good performance. Unfavorable responses were especially high among staff in the FORCE unit (50%), Street Patrol (51%), the Canine and Mounted Patrol unit (62%), and the Communication Center (85%). These findings are significant in that the Saint Paul Police Department, as a paramilitary organization, has a long tradition of awarding formal recognitions. In addition, several respondents in the written comments of the survey were particularly concerned that senior management awarded formal recognitions and commendations unfairly to staff favored by the Chief. Further, some of these staff suggested there were employees who deserved formal recognition but did not receive it because they were out-of-favor with the Department's senior management.

Importantly, while Police Department employees identified the failure to recognize outstanding performance as a problem area, routine performance evaluation practices were not an issue.

### **Research Methods**

While deciding whether senior management awards formal recognitions to the most deserving employees is impossible, we can examine if the Department uses a well-developed and formal process for awarding recognitions. The primary assumption of this analysis is that a well-developed process will lead to recognitions that employees perceive to be more credible and fair than a less-developed process.

To determine the level of development of the Department's recognition system we conducted an inventory of all formal staff awards and commendations. We then interviewed senior management and members of the Commendation Review Board to determine how existing processes work. We also reviewed any documents which pertain to the Department's recognition policies and practices.

We analyzed the data obtained from interviews and the document review and compared them with the attributes of well-developed recognition processes from highly effective organizations. This analysis is similar to that Council Research has used in its performance audits of various City Departmental activities and is based in large part on the Baldrige National Quality *Criteria*

for Performance Excellence.<sup>1</sup> Where deficiencies in these processes and activities are identified, we make recommendations to correct or reduce problems. These recommendations are included at the end of this section.

### **Formal Recognition Process in a High-performing Organization**

High-performing organizations have processes in place to systematically recognize outstanding performance. These processes provide recognition opportunities which go beyond the normal compensation system. These recognitions could be monetary or non-monetary, formal and informal, as well as individual and group recognitions. The purpose of recognition practices should be to encourage all employees to contribute to organizational goals. Employee recognitions should also foster high performance, adaptability and result in individual and organizational learning. Also, in a recognition process which is well-developed we would expect to find a system which is widely understood by staff, involves many stakeholders, has established criteria and is updated regularly for improvement.

### **Findings**

There are eleven official recognitions which are awarded by the Saint Paul Police Department. The criteria and methods for determining award recipients vary. Below, we outline the Department's awards, their criteria and the process for determining who receives each award. Three awards are determined solely by the Chief, seven are awarded through the Commendation Review Board process and the Officer of Year Award is determined by a committee and the Chief.

#### ***Officer of the Year***

The Officer of the Year Award recognizes the police officer who has demonstrated exceptional achievement in carrying out his or her duties. This is considered to be the highest level of achievement obtained by the Department's police officers. Officers and sergeants are eligible and all areas of police activities can be recognized, including crime prevention, community policing, investigations and acts which demonstrate extraordinary valor.

Candidates may be nominated by any officer in the Department. Each year the Chief sends out a Department-wide memo to announce the Department will be accepting nominations for the award. A nomination form is sent separately through the Department's "Daily Bulletin" email. The Department requires the form be used to nominate someone. Nominations are submitted to

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<sup>1</sup> For an example of a performance audit see *Performance Audit of the City of Saint Paul's Labor Relations Activities*, August, 1999.



the Department's Personnel Director who forwards them to a screening committee. The committee, which consists of five commanders who do not supervise field staff, reviews the nominations and submits three recommendations to the Administrative team.<sup>2</sup> The three finalists are announced to the Department and the Administrative Team makes the final selection. The final selection is announced at a luncheon, attended by the family and friends of the three candidates, senior leaders, and other members of the Department.

Until 1999, the Officer of the Year award committee did not have any criteria to guide its selections. To address this deficiency, the Department's current Personnel Director introduced a set of guidelines which were used by the committee when examining candidates. These criteria include three dimensions: (1) the lack of unfavorable behavior or activities, such as disciplines or Internal Affairs complaints; (2) the officer's productivity; and (3) activities which far surpass those expected of police officers in the line of duty. Although candidates who are nominated for the Officer of the Year Award often are recognized for an outstanding activity performed in that year, the officer's entire career is examined by the committee. While these criteria guided the committee's work in 1999, they have not been officially adopted by the Department and have not been distributed throughout the Department.

The current Officer of the Year Award has been in existence since 1997. Prior to the Department's award, the Ranking Officers Association presented a similar Officer of the Year award from 1974-1997.<sup>3</sup> None of the interview subjects were able to provide an explanation for why the Department now controls the award's process. There is a plaque in the Department's John O'Brien Hall of Honor recognizes the recipients who received the Ranking Officers Association award. Since the Department instituted its award, this practice has been discontinued. However, the Personnel Director states there have been discussions about getting a new plaque for recipients of the Departmental award.

### ***Police Commendation Program***

There are seven types of recognition that can be awarded through the Department's Police Commendation Program. Any police employee, sworn or non-sworn, is eligible for these awards. The seven commendations differentiate between various levels of exceptional performance and allow for the acknowledgment of outstanding work done by units, as well as individuals. These awards are granted for specific actions and, unlike the Officer of the Year award, do not consider the employee's career as a relevant criterion. Criteria for these award are listed in the *Saint Paul Police Department's Operations and Procedural Manual*. What follows

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<sup>2</sup> In 1998, these commanders included three executive officers, the Internal Affairs commander, and the senior duty officer.

<sup>3</sup> Before the Saint Paul Police Department instituted its Officer of the Year award, the Department and the Ranking Officers Association jointly sponsored the previous award in 1997.

is a list of the Commendation Program's awards, their criteria and the benefits received by the honoree.

- ' *Medal of Valor.* The criteria for this commendation states the award should be given "to a member who, conscious of danger, intelligently and in the line of police duty, distinguishes himself by the performance of an act of gallantry and valor at imminent personal hazard to life, above and beyond the call of duty." This is the highest form of official recognition a Police employee may receive for a particular action or activity. The Medal of Valor was established in 1972. It is notable that the first award was not given until 1985. Since that time, a total of 31 Medals of Valor have been granted, 22 of which have been awarded during the tenure of the current police chief.

Officers awarded the Medal of Valor receive a letter from the Chief, a certificate, a medal and a bar for their uniform. The Department holds a "Commanders' Table award ceremony" to honor the employee.

- ' *Medal of Merit.* The criteria for this award states that it is to be "awarded to a member for a highly creditable, unusual police accomplishment." Since the award was instituted in 1972, 85 police employees have received the Medal of Merit. During the tenure of the current Police Chief, 61 Medals of Merits have been awarded.

Members who receive the award are given a certificate, a medal and bar for the employee's uniform. The Department conducts an award ceremony for the recipient which takes place in the Chief's office.

- ' *Medal of Commendation.* This award's criteria states it be given to a member in "recognition of intelligent and excellent performance of self initiated police duties" and that recipients should be "exemplars of self initiated police work."

Recipients receive a bar for their uniform, a letter from the Chief and the award is presented at the work site.

- ' *Letter of Recognition.* This award is to be granted to a recipient for "intelligent and excellent performance of regular duties." A letter of recognition is sent to the employee, a copy of the letter is placed in employee's personnel file and the another copy is sent to the immediate supervisor.

- ' *Line of Duty Letter.* If employees are nominated for an award but their actions do not meet any of the above criteria, they are issued a line of duty letter. The letter states the actions taken by the nominee are considered by the Department to represent the performance of regular duties.

- ' *Unit Citation.* This award recognizes the outstanding performance demonstrated by a

work unit. The criteria states that it should be “awarded for exceptional performance of...duty, above and beyond what would be expected...” The citation is presented at ceremony at the work site to the unit’s commander in the presence of the entire unit. Unit members receive a bar for their uniforms and receive a letter from the Chief.

*Unit Letter of Recognition.* The criteria for this recognition states this award “recognizes the accomplishment of [a] unit that is noteworthy and commendable but not of such a stature as to merit a Unit Citation.” Unit members receive a letter from the Chief.

The recipients of these awards are determined by the Commendation Review Board (CRB). The CRB is to be made up of ten members who represent a cross-section of Departmental personnel. The Department’s *Procedure and Operational Manual* states the CRB should include one district supervisor, three patrol officers, two investigators, two civilian employees and a representative from the Chief’s Office. The chair of the committee is the Department’s Personnel Officer who selects, with approval of the Chief, the committee members. Members serve staggered three-year terms. There are ten alternates who fill in for those unable to attend meetings. Typically, new CRB members are selected from the pool of alternates.

Any police employee may be nominated by another employee for one of the Department’s Commendation Program Awards. There is nothing that prohibits officers from nominating themselves; however, in practice this never takes place. A nomination form is available at all work sites. A written letter can also be used to nominate an employee for an award. Completed nominations are submitted to the Personnel Officer who compiles nominations monthly and distributes them to CRB members.

A significant number of employees, especially sworn employees from a broad cross-section of the Department, participate in the nominating process. However, one problem with the process reported by interviewees is that supervisors are inconsistent in their approach to nominating employees for awards. Some supervisors regularly nominate staff for awards and others never do. As one interview subject suggested, employees could be doing the best police work in the City but the CRB will never know about it because their supervisors do not nominate them. It was also reported by several CRB members that new officers are very hesitant to nominate their colleagues.

CRB conducts a monthly meeting at which each nomination is discussed. Packets which include the nomination forms and supporting information are sent out ahead of time. Members report that everyone reads the information and comes to the meetings well prepared. Typically, the chair will present a summary of each nomination to the CRB after which a committee member will make a motion, which must be seconded, to grant an award to the nominee. Then a discussion, at times reported to be lively, will ensue regarding the merits of the motion. When the discussion concludes, a vote is taken. If the motion is passed then the recommendation is sent to the Chief’s office for approval. If it is unsuccessful, the committee will entertain other motions to grant either a higher or lower level of award. If the CRB feels the actions for which

the candidate has been nominated do not meet the awards' criteria, it will recommend a Line of Duty Letter be sent.

Committee members report they find it difficult, at times, to decide when some actions exceed regular actions taken in the line of duty. It was noted that this is a particular problem in deciding when to grant awards to civilian employees. Often, interview subjects reported, it is difficult to justify recommending the same high-level awards that police officers receive for placing their life in jeopardy for employees who perform outstanding civilian work. There was also feeling that the criteria, while appropriate for sworn officers, did not provide guidance for judging civilian work. As a result, some suggested civilian work is less recognized by the CRB than work performed by police officers. One interview subject stated the CRB was considering a review of the methods used for recognizing outstanding civilian performance.

Overall, the CRB's award criteria has not be revised since June of 1995. This is inspite of a 1996 update to the Department's Strategic Plan which calls for the commendation program to have criteria which reflect the values of Community Oriented Policing (COP). The awards criteria, according to the plan, should place a new emphasis on "imaginative problem solving and neighborhood involvement" and encourage "the more mundane aspects of police work, such as working out long-term solutions."<sup>4</sup> No one interviewed from the CRB had heard or read of this reference to the commendation program in the Strategic Plan. One interviewee, however, stated the CRB does award employees for community policing efforts.

### ***Chief's Awards***

The Chief's Awards are given to "an individual or group of individuals by the Chief of Police in recognition of exceptional actions or activities taken on behalf of the Department and/or the City of Saint Paul." Beside this general statement, criteria do not exist for these awards. Nevertheless, they consist of the following three awards that mirror the top commendations available in the CRB recognition process.

- ' *Chief's Award for Valor.* Recipient receives a red, white and blue ribbon, and a framed certificate.
- ' *Chief's Award for Merit.* Recipient receives a yellow and white ribbon, and a framed certificate.
- ' *Chief's Award.* Recipient receives a white ribbon and a certificate.

Instituted in 1995 by the current Police Chief, the Chief's Awards provide a means for

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<sup>4</sup>*Saint Paul Police Department Strategic Plan, 1996 Update, page 6.*

recognizing the contributions of individuals from outside the Department. Those who have received past awards include community organizations, citizens, and law enforcement officials from other jurisdictions. Department employees are also eligible for a Chief's Award. Although awarded directly by the Chief, the CRB may make recommendations for Chief's Awards.

## **Conclusions**

In terms of the number and types of awards, the Saint Paul Police Department appears to have one of the most well developed formal recognition processes in the City of Saint Paul. In many ways, this was expected given the strong role awards traditionally play in public safety organizations. The CRB awards process is especially commendable given that it includes representation from throughout the Department. Furthermore, most of the awards which the CRB deals with have established, albeit limited, criteria. The criteria are easily available to staff through the Department's *Procedure and Operational Manual*. The Department should also be credited with instituting the Chief's Awards program whose primary purpose is to recognize those outside of the Department. Moreover, as interview subjects indicated, departmental awards are generally well-sought after and recipients are held in high-esteem by their peers.

Based on the expansion of the awards program to include the Chief's Awards and the increase in the number of award recipients, namely the greater number of Medals of Valor and Medals of Merit granted, it is clear the current Police Chief places a high value on formal recognition and recognizes its role in improving the quality of an organization. However, this seemingly new philosophy regarding formal recognitions, especially the increase in the number of recipients, does not appear to have been adequately communicated to staff. With the exception of the 1996 update to the Strategic Plan and the revision of the Commendation Review Board section of the *Procedure and Operational Manual*, we did not find any pro-active communication to staff that senior management had change its approach to the awards process. However, based on the greater number of recipients, it would be hard for staff to ignore that a change had taken place. This might explain some of the negative responses about Department awards process found in the Gantz-Wiley survey. Some employees may still be operating under out-dated assumptions about the awards process. It is clear from the interviews and the documents reviewed that the goal to integrate the values of Community Oriented Policing, found in the 1996 Strategic Plan Update, has never been fully implemented. However, there are reports that the CRB places a higher value on COP activities when it makes its decisions. Given there is no evidence that this aspect of the Strategic Plan has been communicated to most members of the CRB or to Department staff, as a whole, this may have lead to a disconnect between the senior leaders' understanding of the awards process and the expectations of employees.

The awards process suffers from a number of other problems. Established criteria do not exist for the Officer of the Year award. Nor do they exist individually for the three Chief's awards, although there is a general statement of purpose for the awards in the *Procedure and Operations*

*Manual.* This statement does not appear to provide adequate guidance to those seeking to differentiate between the three awards. Moreover, the criteria for the Department's other awards often makes it difficult for the CRB to recognize outstanding work done by civilians. Participation by supervisors is inconsistent in the nominating process and many new recruits do not participate at all. Finally, it should be noted that some stakeholders, such as community organizations and block clubs, have no role in the awards process.

## **Recommendations**

***Recommendation #2:*** *The Police Department should review and update its existing criteria for awards on a regular basis. At the moment, attention should especially be paid to clarifying the CRB criteria to lessen some of the confusion expressed by board members about when to award certain recognitions. The Department should consider building on existing criteria. In cases where established criteria does not exist, such as the Officer of the Year and the Chief's Awards, it should be developed. A wide cross-section of staff should be involved in this process. Furthermore, an effort should be made to identify ways the criteria can better recognize outstanding work performed by civilian employees. If this cannot be done within the existing awards structure, then the Department should consider developing new awards for civilian employees. Revision of the awards criteria should implement the objective stated in the 1996 Strategic Plan Update to have departmental awards reflect the values of Community Oriented Policing.*

***Recommendation #3:*** *The Department should consider the development of a recognition program that operates at the unit or divisional level. This may be of particular benefit to civilian employees who feel the current recognition system does not recognize outstanding work they do. In addition, a recognition process which operates on a divisional or unit level may be more flexible and more easily able to recognize, as the 1996 Strategic Plan Update states, some of the "more mundane aspects of police work."*

***Recommendation #4:*** *The Department should obtain a new plaque to be placed in the John O'Brien Hall of Honor which recognizes the recipients of the Department's Officer of the Year award.*

***Recommendation #5:*** *The senior leaders in the Police Department should attempt to increase the participation of supervisors in the awards process. This could be done through outreach or tying such participation to the supervisors' performance evaluations.*

***Recommendation #6:*** *The Department should consider methods for outside stakeholders, such as community organizations and block clubs, to participate in the recognition process. The Department should consider instituting a new award which would provide citizens and community groups with the opportunity to recognize excellent work done by the Department's*

*employees. Citizens would nominate employees for the award and serve jointly with Police Department employees on a selection committee. The Chief, as with all other departmental awards, would make the final selection.*

## **SENIOR MANAGEMENT – VISION AND PLANNING**

A primary problem area identified in the Gantz-Wiley survey is management's ability to provide a clear picture of the future to employees. To effectively lead an organization into the future, senior leaders must give employees a vision that makes it clear where the organization is heading. Senior managers also need to provide and facilitate a planning process which clearly develops strategic goals for both the organization, as a whole, and specific projects.

Only 20 percent of respondents to the Gantz-Wiley Survey gave favorable answers to questions regarding senior management's ability to give employees a clear picture of the future. There were also several responses in the survey's written comments section which stated senior management made inadequate or poor plans to address future challenges. These issues raised by respondents included the high number of vacancies created by recent retirements and the conversion to a computerized report management system.

To determine the effectiveness of the senior management's vision and planning activities, we examined the level of development of these organizational processes. To do this we conducted interviews with senior managers to identify plans and statements of vision. We also examined the processes in place to develop, communicate, implement and update the vision and plans of the organization. Finally, we reviewed written documents which pertained to the Department's policies and practices for developing, communicating and updating the organizational vision and plans.

The analysis done in this part of the study is similar to that used in the prior Staff Recognition section. We compare the data collected with the processes used in highly effective organizations. Where deficiencies in these processes and activities are identified, we make recommendations to correct or reduce problems.

In this section, vision and planning are addressed separately. Recommendations are included at the end of each sub-section.

### **Vision in a High-performing Organization**

Senior leaders in high performing organizations set direction, establish and articulate a clear vision and communicate and make visible the values of the organization. The vision should specifically incorporate the organization's mission, values, goals, strategies and performance

expectations. The vision should be widely and regularly articulated to staff. It should be reviewed periodically and revised to adjust for changes in the organization's environment.

## **Findings**

The current Police Chief developed a written vision for the Department in March of 1998. The vision begins by describing an image of what the public safety environment in the City of Saint Paul should be in the 21<sup>st</sup> Century. It then details the areas on which the Department must focus in order for the vision to become a reality. It incorporates objectives for training, technology use and community partnerships. The statement also integrates the Department's mission, its past successes, and its core values.<sup>5</sup> In terms of content, it is an excellent organizational vision and includes all the elements one looks for in a vision statement.

However, an excellent written statement is only a part of what is needed for senior leaders to set organizational vision and direction. The senior leaders must also ensure the statement is well-known to all staff, reviewed regularly for improvement and reinforced through the operations of the Department. Without attention to these steps, even the best vision statement will be ineffective.

The vision statement was created by a senior management team.<sup>6</sup> It was first communicated through memos which were followed up over the next twelve months by in-service training for all senior command staff and sergeants. The training was conducted by the Department's Public Information Officer and a private consultant. In addition, all new recruits received a presentation from the Chief regarding his vision for the future and the Department's core values. The statement is also included in their training manuals. Those interviewed report the vision is reinforced throughout the organization through individual performance evaluations, the commendation system and through personal leadership demonstrated by the Chief. The vision for the organization should also serve as a basis for strategic planning and be integrated into subsequent updates or action plans. However, as will be detailed in the Planning section below, the Chief's vision statement did not exist when the Department's Strategic Plan was developed or when it was updated in 1996.

Senior leaders in interviews also pointed to the development of their mission statement as an example of the Department's vision activities. While this effort is vitally important for creating an effective organization, we do not consider mission to be analogous to vision. The organizational mission is different from vision in that "a mission outlines an organizational purpose while vision goes on to describe how the organization should look if it is working

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<sup>5</sup> A copy of the SPPD Vision statement can be found in the appendix.

<sup>6</sup> This team included the Chief, Deputy Chiefs, District Commanders, the Public Information Officer, the Director of Research and Development, Director of Internal Affairs, and two civilian supervisors.



extremely well in relation to its environment and its key stakeholders.”<sup>7</sup> Therefore, in this analysis we only considered the organizational mission to the extent it is included in the vision statement.

## **Conclusions**

The Department’s vision statement is excellent and represents a model for other City departments. The statement has been communicated to staff through memos and supervisors have received in-service training on its specifics. Training of other staff on the vision was left to supervisors who attended the in-service training. One explanation of why some staff expressed such negative responses regarding the organization’s direction may be that many do not have the same level of understanding of the Department’s vision as their superiors because they have not receive the same training.

## **Recommendations**

***Recommendation #7:*** Training on the Department’s vision statement should be provided to all staff who have not received it. This effort should focus on front-line officers and civilian supervisors and employees.

***Recommendation #8:*** Objectives outlined in the vision statement should be explicitly incorporated into the Department’s performance evaluations. Employees should be judged on how well they contribute to the achievement of the goals which are outlined in the vision statement, such as increased training, increased technology use and building effective partnerships.

***Recommendation #9:*** The vision statement should be reviewed prior to the next update of the Department’s Strategic Plan. The vision statement should serve as a basis for the next Strategic Plan update.

## **Planning in a High Performing Organization**

Planning is an activity that incorporates a strong future orientation and a willingness to make long-term commitments to stakeholders. High-performing organizations actively engage in planning and recognize the impact not only of internal changes, but also of environmental factors on the organization. Planning considers resource allocation, economic projections, future needs

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<sup>7</sup> Bryson, John. *Strategic Planning for Public and Non-Profit Organizations*. Jossey-Bass, 1995 page 155.

of employees, future customer needs and expectations, technological developments, and stakeholder requirements. Plans can be long- or short-term, and can be issue specific, organization-wide or unit-wide. In order to be effective, plans need to be carried out and updated frequently.

## **Findings**

The Saint Paul Police Department has developed long-term strategic plans and short-term, issue specific plans, also known as action plans. While strategic planning has not occurred in the last four years, the Department continues to make use of action plans for specific issues. The Department's planning efforts are detailed below.

### ***Strategic Planning***

Soon after his appointment in 1992, the current Police Chief initiated a comprehensive planning process to develop a Strategic Plan which would institute the philosophy of Community Oriented Policing (COP). This plan would guide all future departmental activities. COP, according to the Department, is "full service personalized policing where the same officer patrols and works in the same area on a permanent basis, from a decentralized place and interacts in a pro active partnership with citizens to identify and solve problems."<sup>8</sup> Although the Department throughout the 1980s had a number of community policing initiatives, COP had not, as this plan set out to do, been institutionalized as the primary philosophy of the Department. Because implementation of COP requires changes at all levels of police work, shifts in stakeholder attitudes and behavior, and involves external, as well as internal, considerations, undertaking a strategic plan is a most appropriate vehicle for establishing the values and goals of COP.

The plan was originally drafted in 1993 by a management team that included the Chief, Deputy Chiefs, District Commanders and the Director of Research and Development. The Chief called together 50 managers for a two day retreat to gather their thoughts on COP. The plan was also shared with block clubs and other community organizations to get their feedback. The management team then incorporated the comments into the final version of the plan. It should be noted the team did not solicit the input of front-line officers, civilian employees, and representatives of other City departments. Participation by other City departments would have been particularly valuable because one of the tenets of COP is that community policing is a City-wide responsibility, not just limited to the Police Department. For COP to be successful, the Police Department must build relationships with other departments to receive their assistance in improving public safety. Having other key City Departments, such as the City Attorney's Office and the Parks and Recreation Division, participate in the strategic planning process would

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<sup>8</sup>Cowles, Catherine. *The Development of Community Policing in Saint Paul, Minnesota*. Cambridge, MA: John F. Kennedy School of Government, Harvard University, p. 37.

improve its chances for success.

Nevertheless, the Strategic Plan which resulted from this process is comprehensive and includes many attributes one expects in an effective plan. The plan is organized around four questions: “Where is the SPPD now? Where does it want to go? How will it get there? How is SPPD doing?” The plan incorporates the Department’s mission statement which was written prior to the planning process. It considers future employee requirements, citizen and stakeholder expectations, community partnerships, and technological and capital needs.

The plan was updated in 1996 by the same management team that authored the original plan. As part of the update, the Chief and an outside consultant conducted two sessions on two separate days with Department managers. The feedback provided by the managers was used to revise the plan. The update left most of the original plan intact and added a five year capital improvements plan. The updated plan was communicated to sworn officers at roll calls and to civilian employees through their supervisors.

While the Strategic Plan includes a section about evaluating its implementation, it states that no model is available to undertake a formal evaluation of COP. Instead of a formal evaluation, the Department has attempted to measure COP’s success through a series of annual, subjective assessments. Assessments of the 1993 Strategic Plan goals are included in the appendix of the 1996 update. In our interviews, senior management reported that these assessments have not continued since the 1996 update. However, the Department has worked with Hamline University Graduate School to develop an evaluation model that will be applied to one aspect of the Strategic Plan, the Neighborhood Service Area program. The evaluations have been completed but the results will not be released until the summer of 2000. In our interviews, the lack of evaluation of COP did not appear to be a concern for management team members. One stated that Police Officers meet regularly with block clubs and that the community keeps the Department aware of how well it’s doing with COP. Therefore, there really is not any need to do formal evaluations. Moreover, it was mentioned that very little money is allocated within the Department for serious evaluation activities.

Since 1996 there has been no effort to update the Strategic Plan. One member of the management team reported there is no need to change the plan because “it’s a good one.” Furthermore, this senior leader also stated the Department is more concerned about the daily operations of the Department and “isn’t thinking in a strategic mode” at the moment.

### ***Action Plans***

The Police Department creates numerous issue-specific plans, or action plans, to address both internal and external issues. Many of these plans are developed because of needs identified by the Department, but others are developed because of directives from the Mayor and City

Council.<sup>9</sup> Identified below are the significant action plans identified by senior leaders that have been developed since 1992.

- ' Y2K Preparedness Plan
- ' Neighborhood Service Area Plan
- ' Information Services Plan for Transition to Paperless Office
- ' A Community Outreach Program (ACOP) Plan
- ' Plan for the Consolidation of Police and Fire Emergency Communications Center
- ' Bio-hazard Preparedness Plan

After a planning issue is identified, the Police Chief appoints a chair and responsible staff to serve on a planning committee. Committees will often include sworn and civilian employees, other City staff from outside the Department, law enforcement representatives from other jurisdictions, and citizens. When completed, action plans are communicated to affected staff through memos. The plans are updated on an as needed basis. Some action plans that involve efforts which are funded by grants, such as ACOP, are required to have evaluations by the funding organizations. Otherwise, the Department does not evaluate the success of action plans. In the words of one member of the Administrative Team, "If the plan is carried out and the right outcome is achieved then it is considered a success." The primary measurement for success in the Police Department was reported to be whether crime rates are decreasing in the City and whether the Department is receiving complaints from the public.

### ***Budget Activity Performance Plans***

Each year for the annual City Budget, departments are required to submit an Activity Performance Plan. In effort to update their activity plans to reflect their current Strategic Plan, the Police Department attempted to revise all of its activity performance measures. This was a Department-wide effort which took over six weeks and involved 25 employees. After submitting its 2000 Budget with the revised performance measures, the Office of Financial Services told the Department that it did not have the staff or the resources to review the new measures. Therefore, they were not included in the 2000 Budget and the previous year's performance measures were used instead.

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<sup>9</sup> An example of action plan instigated by the Mayor and City Council would be the plan to consolidate the Police and Fire Emergency Communication Centers.

## **Conclusions**

The Police Department has undertaken some admirable planning efforts. Especially commendable are its efforts to revise the budget performance measures. However, the Strategic Plan has not been updated in four years and there are no plans currently to do so. It would be a serious waste of previous effort to allow this very good plan to become obsolete. Despite the suggestion to the contrary by some senior leaders, all organizations should always think and plan strategically. This is especially true for organizations which operate in the field of public safety. Evaluation of the implementation and results of plans is a particularly weak aspect of the Department's efforts. With the exception of the effort by Hamline University to assess the effectiveness of Neighborhood Service Areas, the Department has done little to evaluate the effectiveness of its Strategic Plan. The subjective assessments of COP, proposed in the 1996 Strategic Plan, have been discontinued. While the Department claims no formal method exists for the overall assessment of COP, it has the ability to evaluate certain aspects of the COP plan with tools such as citizen or employee surveys. This is currently not being done. Moreover, the Department appears to collect only small amounts of data on the effectiveness of any of the Department's plans at anything lower than the patrol district level. This is a major impediment to determining whether community policing is succeeding at the neighborhood level.

## **Recommendations**

***Recommendation 10:*** *The Department should undertake an effort to revise their current Strategic Plan. This effort should include senior leaders, supervisors, rank-and-file employees, representatives from other relevant City departments and community stakeholders. The update should incorporate new methods for evaluating the success of COP. The revised plan should be communicated to staff and integrated as a central element in the police academy training program.*

***Recommendation 11:*** *The Department should continue its effort to revise its budget performance plan measures and resubmit new measures for inclusion in the 2001 budget.*

***Recommendation 12:*** *The Office of Financial Services should work closely with the Police Department, and all other departments interested in revising their budget performance measures, to ensure that new measures can be included in next year's budget. This assistance should assure that City departments are able to maintain and improve the budget performance measures.*

## **EMPLOYEE INVOLVEMENT**

How senior leaders involve employees in decision-making, solicit employee opinions, encourage employees to be innovative and use good employee ideas were areas of serious concern for Gantz-Wiley respondents. These issues, grouped under the theme of employee involvement,

received the most unfavorable responses of any category in the survey. Only nineteen percent of all respondents gave a favorable response when asked if the Department encouraged employees to participate in decisions which affected their work. Just 15 percent of survey participants answered favorably about whether senior leaders made a sufficient effort to get the opinions of people in the Department. With the exception of the police administration employees, Downtown patrol officers and the FORCE unit members, no work group in the Department had more than 20 percent of respondents answer favorably to the questions in this theme.

## **Research Methods**

To examine the effectiveness of senior management's ability to encourage employee involvement, we examined the level of development of organizational processes. To do this we conducted interviews with senior managers to identify mechanisms and practices that involve employees in decisions made about the Department. We also examined any documents which pertained to current and past practices to involve employees.

The analysis done in this part of the study is similar to that used in the Staff Recognition and Senior Management-Vision and Planning sections. We compared the data collected with the processes used in highly effective organizations. Where deficiencies in these processes and activities are identified, we make recommendations to correct or reduce problems. These recommendations are included at the end of this section.

## **Employee Involvement in High-performing Organizations**

A primary characteristic of high performing organization is that senior leaders encourage employee involvement in decisions made about the organization's operations. Employee involvement also assists senior leaders in identifying work practices which are tailored to employees with diverse work place and home life needs. In addition, employees and supervisors must also be involved in the development, design and evaluation of education and training opportunities. These individuals are best able to identify critical needs and evaluate success. In general, employee involvement in area of human resources should improve employee knowledge, creativity and motivation.

## **Findings**

Senior leaders reported that, as a para-military organization, the primary mechanism for employee involvement in the Police Department was communication through the chain of command. Typically, front-line employees express their ideas or concerns to their immediate supervisors, who in turn relay them to command level staff. Commanders then share this

information with the senior leaders at regular meetings of the Administrative Team. Other mechanisms, however, do exist to solicit employee feedback and involvement. These efforts are detailed below.

### ***Chief's Open-door Meetings***

Once a week the Chief conducts “open-door” meetings with any staff members interested in meeting with him. The meetings take place at a predetermined time and the Chief is usually available for up to an hour and half. Because no one is turned away, the sessions sometimes take two or three hours if large number of people show up or if individual meetings take a particularly long period of time. Interview respondents reported that these sessions are well utilized by staff.

### ***Wednesday Commander Meetings***

Each Wednesday the Chief meets with the Department's Commanders and other senior staff. It is at these meetings that Commanders provide the Chief with employee feedback that has come up through the chain of command. In addition, any employee, regardless of rank, may make a presentation at this meeting about a new innovation or idea for the Department. The motorcycles unit, bike and horse patrol were all ideas which were created as a result of front-line staff presentations at the weekly Commanders' Meeting.

### ***Survey of Employee Training and Development Needs***

The Department surveys staff each year to determine training needs. Unit supervisors collect training requests from front-line staff and the senior management team prioritizes them. The Chief reviews the priorities and decides, based on the year's budget, which opportunities will be offered. Although, this has been a regular practice during the current Chief's tenure, there have been several years when it was not done because the Department lacked funds to provide a wide array of training opportunities.

### ***Other Employee Involvement Activities***

The Chief solicits the opinions of Commanders and supervisors before making employee assignments to their units.<sup>10</sup> The Chief meets monthly with the Police Federation at the stewards meeting to discuss labor-management issues. Finally, the Department occasionally contracts with the Office of Human Resources or outside private consultants to do management studies. These studies are undertaken primarily in reaction to problems that have been identified by

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<sup>10</sup> It should be noted that in an interview Council Research was informed of at least one instance where this was not done.

Department leaders.

## **Conclusions**

When compared to other high-performing organizations, the Police Department's processes for employee involvement are less than adequate. While the Department provides access to senior leaders through the Chief's open-door meetings and the Commanders' meetings, very few of their activities pro-actively solicit employee opinions or innovations. There is a significant difference between providing staff with access to senior leaders and creating a culture in which employees feel encouraged to share opinions and ideas for improvements. The Department's use of consultants to assess employee attitudes typically is not pro-active. Notable exceptions to this reactionary approach are the Chief's participation in the steward's meetings and the Department's effort to survey staff training needs. These are excellent practices.

## **Recommendations**

***Recommendation 13:** The Department should pursue the development of a pro-active system to assess employee well-being, and identify employee innovations and concerns. In developing this system, senior leaders should seek the input of a large cross-section of employees and the representatives of the Department's bargaining units. A component of this effort could include a periodic employee survey.*



